



FILE COPY

RECEIPT #

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: John R. Subjeck et al. Examiner: Not yet assigned  
Serial No.: 09/676,340 Group Art Unit: 1645  
Filed: September 29, 2000 Docket: G&C 126.1-US-U3  
Title: STRESS PROTEIN COMPOSITIONS AND METHODS FOR PREVENTION AND  
TREATMENT OF CANCER AND INFECTIOUS DISEASE

CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on January 18, 2001.

By: 

Name: Karen S. Canady

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing a Certificate of Mailing under 37 CFR 1.8.
- ☒ Request for Corrected Filing Receipt and Copy of Filing Receipt.
- ☒ Return postcard.

Please consider this a **PETITION FOR EXTENSION OF TIME** for a sufficient number of months to enter these papers, if appropriate.

Please charge any additional fees or credit any overpayment to Deposit Account No. 50-0494 of Gates & Cooper LLP. A duplicate of this paper is enclosed.

Customer Number 22462.

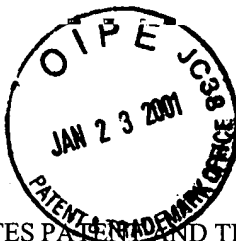
**GATES & COOPER LLP**

Howard Hughes Center  
6701 Center Drive West, Suite 1050  
Los Angeles, CA 90045  
(310) 641-8797

By: 

Name: Karen S. Canady  
Reg. No.: 39,927  
KSC/sjm

(PTO TRANSMITTAL - GENERAL)



Due Date: February 26, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: John R. Subjeck et al. Examiner: Not yet assigned  
Serial No.: 09/676,340 Group Art Unit: 1645  
Filed: September 29, 2000 Docket: G&C 126.1-US-U3  
Title: STRESS PROTEIN COMPOSITIONS AND METHODS FOR PREVENTION AND  
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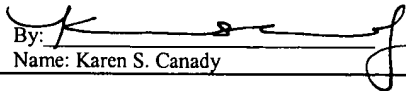
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JAN 25 2001

TECH CENTER 1000, 2001

**CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8**

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By:   
Name: Karen S. Canady

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing a Certificate of Mailing under 37 CFR 1.8.
- ☒ Communication in Response to Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures including Copy of Transmittal Paper and Returned-Stamped Postcard.
- ☒ Return postcard.

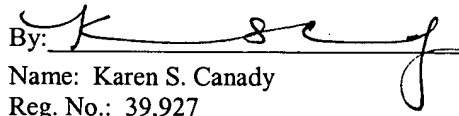
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Customer Number 22462.

**GATES & COOPER LLP**

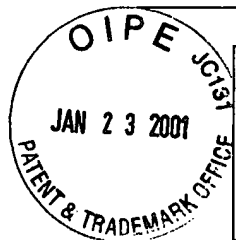
Howard Hughes Center  
6701 Center Drive West, Suite 1050  
Los Angeles, CA 90045  
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By:   
Name: Karen S. Canady  
Reg. No.: 39,927  
KSC/sjm

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By: 

Name: Karen S. Canady

REQUEST FOR CORRECTED FILING RECEIPT

Attn: Office of Initial Patent Examination  
Customer Service Center  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Enclosed is a photocopy of the filing receipt from the U.S. Patent and Trademark Office in the above-identified application showing requested corrections. The filing receipt is erroneous in the following respects as reflected in the papers originally filed on September 29, 2000.

The correction is shown in **Bold** and should read:

Under the heading "Applicant(s)":

John R. Subjeck, Williamsville, NY;  
Robert A. Henderson, Seattle, WA;  
Elizabeth A. Repasky, Williamsville, NY;  
Latif **Kazim**, Amherst, NY;  
Xiang-Yang Wang, Buffalo, NY.

Under the heading "Continuing Data as Claimed by Applicant":

THIS APPLN CLAIMS BENEFIT OF 60/156,821, 09/30/1999  
**AND** 60/163,168 11/02/1999  
**AND** 60/215,497 06/30/2000

In the title:

STRESS PROTEIN COMPOSITIONS AND METHODS **FOR** PREVENTION AND  
TREATMENT OF CANCER AND INFECTIOUS DISEASE

Correction of the records of the U.S. Patent and Trademark Office and issuance of a  
corrected filing receipt are respectfully solicited.

Respectfully submitted,

John R. Subjeck et al.

By their attorneys,

GATES & COOPER LLP  
6701 Center Drive West, Suite 1050  
Los Angeles, California 90045  
(310) 641-8797

Date: January 18, 2001

By: 

Name: Karen S. Canady  
Reg. No.: 39,927  
KSC/sjm



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/676,340	09/29/2000	1645	1608	126.1-US- U3	38	45	9

22462

GATES AND COOPER  
HOWARD HUGHES CENTER  
6701 CENTER DRIVE WEST SUITE 1050  
LOS ANGELES, CA 90045



## FILING RECEIPT



\*OC000000005638076\*

Date Mailed: 12/26/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

John R. Subject, Williamsville, NY ;  
Robert A. Henderson, Seattle, WA ;  
Elizabeth A. Repasky, Williamsville, NY ;  
Latif Kazim, Amherst, NY ;  
Xiang-Yang Wang, Buffalo, NY ;

Kazim

## Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/156,821 09/30/1999  
AND WHICH CLAIMS BENEFIT OF 60/163,168 11/02/1999  
AND WHICH CLAIMS BENEFIT OF 60/215,497 06/30/2000

## Foreign Applications

If Required, Foreign Filing License Granted 12/25/2000

## Title

Stress protein compositions and methods of prevention and treatment of cancer and infectious disease

for

## Preliminary Class

530

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137 138 139 140 141 142 143 144 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167 168 169 170 171 172 173 174 175 176 177 178 179 180 181 182 183 184 185 186 187 188 189 190 191 192 193 194 195 196 197 198 199 200 201 202 203 204 205 206 207 208 209 210 211 212 213 214 215 216 217 218 219 220 221 222 223 224 225 226 227 228 229 230 231 232 233 234 235 236 237 238 239 240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 256 257 258 259 260 261 262 263 264 265 266 267 268 269 270 271 272 273 274 275 276 277 278 279 280 281 282 283 284 285 286 287 288 289 290 291 292 293 294 295 296 297 298 299 300 301 302 303 304 305 306 307 308 309 310 311 312 313 314 315 316 317 318 319 320 321 322 323 324 325 326 327 328 329 330 331 332 333 334 335 336 337 338 339 340 341 342 343 344 345 346 347 348 349 350 351 352 353 354 355 356 357 358 359 360 361 362 363 364 365 366 367 368 369 370 371 372 373 374 375 376 377 378 379 380 381 382 383 384 385 386 387 388 389 390 391 392 393 394 395 396 397 398 399 400 401 402 403 404 405 406 407 408 409 410 411 412 413 414 415 416 417 418 419 420 421 422 423 424 425 426 427 428 429 430 431 432 433 434 435 436 437 438 439 440 441 442 443 444 445 446 447 448 449 450 451 452 453 454 455 456 457 458 459 460 461 462 463 464 465 466 467 468 469 470 471 472 473 474 475 476 477 478 479 480 481 482 483 484 485 486 487 488 489 490 491 492 493 494 495 496 497 498 499 500 501 502 503 504 505 506 507 508 509 510 511 512 513 514 515 516 517 518 519 520 521 522 523 524 525 526 527 528 529 530 531 532 533 534 535 536 537 538 539 540 541 542 543 544 545 546 547 548 549 550 551 552 553 554 555 556 557 558 559 560 561 562 563 564 565 566 567 568 569 570 571 572 573 574 575 576 577 578 579 580 581 582 583 584 585 586 587 588 589 590 591 592 593 594 595 596 597 598 599 600 601 602 603 604 605 606 607 608 609 610 611 612 613 614 615 616 617 618 619 620 621 622 623 624 625 626 627 628 629 630 631 632 633 634 635 636 637 638 639 640 641 642 643 644 645 646 647 648 649 650 651 652 653 654 655 656 657 658 659 660 661 662 663 664 665 666 667 668 669 670 671 672 673 674 675 676 677 678 679 680 681 682 683 684 685 686 687 688 689 690 691 692 693 694 695 696 697 698 699 700 701 702 703 704 705 706 707 708 709 710 711 712 713 714 715 716 717 718 719 720 721 722 723 724 725 726 727 728 729 730 731 732 733 734 735 736 737 738 739 740 741 742 743 744 745 746 747 748 749 750 751 752 753 754 755 756 757 758 759 760 761 762 763 764 765 766 767 768 769 770 771 772 773 774 775 776 777 778 779 780 781 782 783 784 785 786 787 788 789 790 791 792 793 794 795 796 797 798 799 800 801 802 803 804 805 806 807 808 809 810 811 812 813 814 815 816 817 818 819 820 821 822 823 824 825 826 827 828 829 830 831 832 833 834 835 836 837 838 839 840 841 842 843 844 845 846 847 848 849 850 851 852 853 854 855 856 857 858 859 860 861 862 863 864 865 866 867 868 869 870 871 872 873 874 875 876 877 878 879 880 881 882 883 884 885 886 887 888 889 890 891 892 893 894 895 896 897 898 899 900 901 902 903 904 905 906 907 908 909 910 911 912 913 914 915 916 917 918 919 920 921 922 923 924 925 926 927 928 929 930 931 932 933 934 935 936 937 938 939 940 941 942 943 944 945 946 947 948 949 950 951 952 953 954 955 956 957 958 959 960 961 962 963 964 965 966 967 968 969 970 971 972 973 974 975 976 977 978 979 980 981 982 983 984 985 986 987 988 989 990 991 992 993 994 995 996 997 998 999 1000 1001 1002 1003 1004 1005 1006 1007 1008 1009 1010 1011 1012 1013 1014 1015 1016 1017 1018 1019 1020 1021 1022 1023 1024 1025 1026 1027 1028 1029 1030 1031 1032 1033 1034 1035 1036 1037 1038 1039 1040 1

**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies; particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

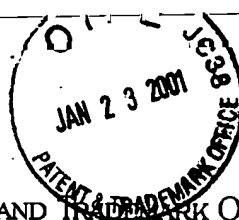




UNITED STATES PATENT AND TRADEMARK OFFICE

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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/676,340	09/29/2000	John R. Subject	126.1-US-U3

22462  
GATES AND COOPER  
HOWARD HUGHES CENTER  
6701 CENTER DRIVE WEST SUITE 1050  
LOS ANGELES, CA 90045

FORMALITIES LETTER



\*OC000000005638077\*

Date Mailed: 12/26/2000

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason(s):
  - Applicant must provide:
    - A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-1123
- For CRF Submission Help, call (703) 308-4212
- PatentIn Software Program Support
- - For Technical Assistance, call (703) 287-0200
- - To Purchase PatentIn Software, call (703) 306-2600

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): John R. Subjeck, Robert A. Henderson, Elizabeth A. Repasky, Latif Kazim, and Xiang-Yang Wang

Docket: 126.1-US-U3

Title: STRESS PROTEIN COMPOSITIONS AND METHODS FOR PREVENTION AND TREATMENT OF CANCER AND INFECTIOUS DISEASE

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JAN 25 2001

**CERTIFICATE OF MAILING UNDER 37 CFR 1.10**

'Express Mail' mailing label number: EL540750195US

Date of Deposit: September 29, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

By: *Isabell Ogata*  
Name: Isabell Ogata

TECH CENTER 1600/2000

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231



Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing Certificate Of Mailing Under 37 CFR 1.10.
- ☒ Utility Patent Application: Spec. 70 pgs; 45 claims; Abstract 1 pg(s).  
The fee has been calculated as shown below in the "Claims as Filed" table.
- ☒ 38 sheets of Drawings.
- ☒ Two signed Combined Declaration and Power of Attorneys (8 pages).
- ☒ Assignment of the invention by co-inventors John R. Subjeck, Elizabeth A. Repasky, Latif Kazim, and Xiang-Yang Wang to Health Research, Inc., Recordation Form Cover Sheet
- ☒ Assignment of the invention by co-inventor Robert A. Henderson to Corixa Corporation, Recordation Form Cover Sheet.
- ☒ PTO-2038 Credit Card Payment Form for the amount of \$1,608.00 to cover the Filing Fee
- ☒ PTO-2038 Credit Card Payment Form for the amount of \$80.00 to cover the two (2) Assignment Recordation Fees.
- ☒ Computer readable and paper form of SEQUENCE LISTING. Applicants state that the paper copy form of the SEQUENCE LISTING section of the present application, and the computer readable form submitted herewith, are the same.
- ☒ The invention was made by an agency of the United States Government or under a contract with an agency of the United States Government. The name of the U.S. Government agency and the U.S. Government contract number are: National Institutes of Health, Grant No. GM 45994.
- ☒ Return postcard

**CLAIMS AS FILED**

Number of Claims Filed	In Excess of:	Number Extra	Rate	Fee
<b>Basic Filing Fee</b>				\$690.00
<b>Total Claims</b>				
45	20	25	x \$18.00	= \$450.00
<b>Independent Claims</b>				
9	3	6	x \$78.00	= \$468.00
<b>MULTIPLE DEPENDENT CLAIM FEE</b>				\$0.00
<b>TOTAL FILING FEE</b>				<b>\$1,608.00</b>

(PTO TRANSMITTAL - NEW FILING)

EL540750195US

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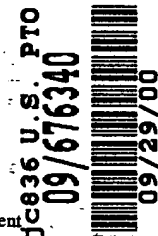
Receipt is hereby acknowledged for the following in the U.S. Patent and Trademark Office:  
Applicant: John R. Subjeck, Robert A. Henderson, Elizabeth A. Repasky, Latif Kazim, and Xiang-Yang Wang  
Title: STRESS PROTEIN COMPOSITIONS AND METHODS FOR PREVENTION AND TREATMENT OF  
CANCER AND INFECTIOUS DISEASE

Docket: 126.1-US-U3

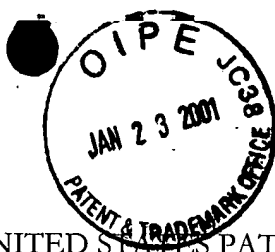
Express Mail No.: EL540750195US Date of Deposit: September 29, 2000

- ☒ Transmittal sheet, in duplicate, containing Certificate Of Mailing Under 37 CFR 1.10.
- ☒ Utility Patent Application: Spec. 70 pgs; 45 claims; Abstract 1 pg(s).
- ☒ 38 sheets of Drawings
- ☒ Two signed Combined Declaration and Power of Attorneys (8 pages).
- ☒ Assignment of the invention to Health Research, Inc., Recordation Form Cover Sheet.
- ☒ Assignment of the invention to Corixa Corporation, Recordation Form Cover Sheet.
- ☒ PTO-2038 Credit Card Payment Form for the amount of \$1,608.00 to cover the Filing Fee
- ☒ PTO-2038 Credit Card Payment Form for the amount of \$80.00 to cover the two (2) Assignment Recordation Fee.
- ☒ Computer readable and paper form of SEQUENCE LISTING. Applicants state that the paper copy form of the SEQUENCE LISTING section of the present application, and the computer readable form submitted herewith, are the same.
- ☒ The invention was made by an agency of the United States Government or under a contract with an agency of the United States Government. The name of the U.S. Government agency and the U.S. Government contract number are: National Institutes of Health, Grant No. GM 45994.
- ☒ Return postcard

KSC/fo Patent



8



#3

Due Date: February 26, 2001

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Applicant: John R. Subjeck et al. Examiner: Not yet assigned  
Serial No.: 09/676,340 Group Art Unit: 1645  
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By:

Name: Karen S. Canady

COMMUNICATION IN RESPONSE TO NOTICE TO COMPLY WITH REQUIREMENTS  
FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR  
AMINO ACID SEQUENCE DISCLOSURES

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

This Communication is being submitted in response to the Notice to Comply dated December 26, 2000, and further to a telephone conference with John Doll, Director of Biotechnology at the U.S. Patent and Trademark Office. The Notice requests Applicants to provide a statement indicating that the paper and computer-readable copies of the Sequence Listing filed with the application are the same and include no new matter.

We are enclosing a copy of the transmittal paper submitted to the U.S. Patent and Trademark Office with the above-identified patent application on September 29, 2000. The required statement is highlighted on this copy of the transmittal. We also enclose a copy of the stamped, returned postcard with the statement required highlighted thereon as well. Applicants note that materials submitted with the original filing of a patent application cannot constitute new matter.

It is our understanding that placement of the required statement on the transmittal accompanying a patent application is sufficient for compliance with 37 C.F.R. §1.821-825. If the Patent Office requires presentation of the statement in a different format, clarification of a more specific format requirement would be appreciated.

Respectfully submitted,

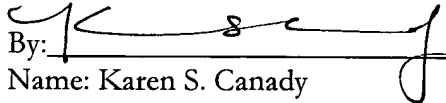
John R. Subjeck et al.

By their attorneys,

GATES & COOPER LLP

Howard Hughes Center  
6701 Center Drive West, Suite 1050  
Los Angeles, California 90045  
(310) 641-8797

Date: January 18, 2001

By:   
Name: Karen S. Canady

Reg. No.: 39,927

KSC/sjm

G&C 126.1-US-U3